

RECEIVED  
SDNY PRO SE OFFICE  
UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

2019 FEB -8 PM 2:49

Amy Victoria Ramirez Rodriguez

**18 CV 1270**  
CV

Write the full name of each plaintiff.

(Include case number if one has been assigned)

-against-

**COMPLAINT**

James Gorman, Eric Grossman,

Peter Schultz, Allana Grinshteyn

Jeffrey Brodsky, Robert Rooney

Morgan Stanley

Do you want a jury trial?

☒ Yes ☐ No

Write the full name of each defendant. If you need more space, please write "see attached" in the space above and attach an additional sheet of paper with the full list of names. The names listed above must be identical to those contained in Section II.

**NOTICE**

The public can access electronic court files. For privacy and security reasons, papers filed with the court should therefore *not* contain: an individual's full social security number or full birth date; the full name of a person known to be a minor; or a complete financial account number. A filing may include *only*: the last four digits of a social security number; the year of an individual's birth; a minor's initials; and the last four digits of a financial account number. See Federal Rule of Civil Procedure 5.2.

## I. BASIS FOR JURISDICTION

Federal courts are courts of limited jurisdiction (limited power). Generally, only two types of cases can be heard in federal court: cases involving a federal question and cases involving diversity of citizenship of the parties. Under 28 U.S.C. § 1331, a case arising under the United States Constitution or federal laws or treaties is a federal question case. Under 28 U.S.C. § 1332, a case in which a citizen of one State sues a citizen of another State or nation, and the amount in controversy is more than \$75,000, is a diversity case. In a diversity case, no defendant may be a citizen of the same State as any plaintiff.

What is the basis for federal-court jurisdiction in your case?

☒ **Federal Question**

☐ **Diversity of Citizenship**

### A. If you checked Federal Question

Which of your federal constitutional or federal statutory rights have been violated?

42 U.S.C. § 12112, § 12203, § 1981  
(EEOC Right to Sue Enclosed)

### B. If you checked Diversity of Citizenship

#### 1. Citizenship of the parties

Of what State is each party a citizen?

The plaintiff, \_\_\_\_\_, is a citizen of the State of \_\_\_\_\_  
(Plaintiff's name)

\_\_\_\_\_  
(State in which the person resides and intends to remain.)

or, if not lawfully admitted for permanent residence in the United States, a citizen or subject of the foreign state of \_\_\_\_\_

\_\_\_\_\_  
If more than one plaintiff is named in the complaint, attach additional pages providing information for each additional plaintiff.

If the defendant is an individual:

The defendant, \_\_\_\_\_, is a citizen of the State of  
(Defendant's name)

\_\_\_\_\_  
or, if not lawfully admitted for permanent residence in the United States, a citizen or  
subject of the foreign state of \_\_\_\_\_

If the defendant is a corporation:

The defendant, \_\_\_\_\_, is incorporated under the laws of  
the State of \_\_\_\_\_

and has its principal place of business in the State of \_\_\_\_\_

or is incorporated under the laws of (foreign state) \_\_\_\_\_

and has its principal place of business in \_\_\_\_\_

If more than one defendant is named in the complaint, attach additional pages providing  
information for each additional defendant.

## II. PARTIES

### A. Plaintiff Information

Provide the following information for each plaintiff named in the complaint. Attach additional  
pages if needed.

Amy V. Ramirez Rodriguez  
First Name Middle Initial Last Name

16 Colonel Robert Magaw Apt. 24C  
Street Address

New York New York 10033  
County, City State Zip Code

(646) 373-9432  
Telephone Number

RodriguezA.Ramirez@gmail.com  
Email Address (if available)

**B. Defendant Information**

To the best of your ability, provide addresses where each defendant may be served. If the correct information is not provided, it could delay or prevent service of the complaint on the defendant. Make sure that the defendants listed below are the same as those listed in the caption. Attach additional pages if needed.

Defendant 1: James Gorman  
 First Name Last Name  
Chief Executive Officer  
 Current Job Title (or other identifying information)  
Morgan Stanley 1585 Broadway  
 Current Work Address (or other address where defendant may be served)  
New York New York 10036  
 County, City State Zip Code

Defendant 2: Eric Grossman  
 First Name Last Name  
Chief Legal Officer  
 Current Job Title (or other identifying information)  
Morgan Stanley 1585 Broadway  
 Current Work Address (or other address where defendant may be served)  
New York New York 10036  
 County, City State Zip Code

Defendant 3: Peter Schultz  
 First Name Last Name  
Executive Director  
 Current Job Title (or other identifying information)  
Morgan Stanley 2000 Westchester Ave. 3<sup>rd</sup> FL  
 Current Work Address (or other address where defendant may be served)  
Purchase New York 10577  
 County, City State Zip Code

Defendant 5: Allana Grinshteyn, Investigator-Special Inv. Unit.  
Morgan Stanley 1585 Broadway, NY NY 10036  
 Defendant 6: Robert Rooney, Head of Technology  
Morgan Stanley 1585 Broadway, NY NY 10036

Defendant 4:

Jeffrey Brodsky  
 First Name Last Name  
Chief Human Resources Officer  
 Current Job Title (or other identifying information)  
Morgan Stanley 1585 Broadway  
 Current Work Address (or other address where defendant may be served)  
New York New York 10036  
 County, City State Zip Code

**III. STATEMENT OF CLAIM**Place(s) of occurrence: New York, N.Y. and Paramus, N.J.Date(s) of occurrence: Jan. '19,  
Dec. '18, Sep. '18, Jul. '18 Through May '16.**FACTS:**

State here briefly the FACTS that support your case. Describe what happened, how you were harmed, and what each defendant personally did or failed to do that harmed you. Attach additional pages if needed.

- 1.) To date defendants are responsible to make true and accurate attestations regarding personnel and business transactions to FINRA, and to keep true and accurate records of the same internally; pursuant 15 U.S.C. <sup>chapter</sup> 2D.
- 2.) In January 2019, Dec. '18, Sep. '18, and Jul. '18 plaintiff sought to redress false and inaccurate records about her, to FINRA and within Morgan Stanley internally. Morgan Stanley stewards these records and attestations.
- 3.) Peter Schwartz, later the additional defendants as well, refused to address my complaint of false, inaccurate and fabricated records about me (the plaintiff).
- 4.) Defendants have no record or account of acknowledging, managing, or engaging my written requests for accommodation and guidance during or regarding my (plaintiff's) surgical intervention for morbid obesity.
- 5.) Plaintiff's repeated written requests to accommodate morbid obesity before its surgical intervention were ignored. Plaintiff's repeated written requests to accommodate morbid obesity after its surgical intervention,

(to abscise 80% of Plaintiff's stomach permanently), were ignored. When Plaintiff complained that her written requests were ignored, repeatedly, over 8 months, defendant Allana M. Grinshteyn retaliated against the Plaintiff with Calumnies. When Plaintiff sought accommodation again, she was terminated. Plaintiff's requests, from <sup>January</sup> 2016 through <sup>January</sup> 2019, for redress, and <sup>for</sup> records of her request for accommodation, ~~of~~ and during surgical intervention, and for correction of Morgan Stanley's attestations to FINRA informing Plaintiff's Form U5 and CRD, were ignored and refused repeatedly.

6.) Plaintiff has lost opportunities for employment with FINRA members.

7.) Plaintiff has lost consortium, income, shelter, and has suffered over twenty mental health crises from 2016 through 2019 presently, to date.

**INJURIES:**

If you were injured as a result of these actions, describe your injuries and what medical treatment, if any, you required and received.

- 1.) Loss of Consortium with spouse Osbel Nuñez Aleman in Havana Cuba, to date.
- 2.) Negative Referral, to date: False Attestation to FINRA, 7 retracted offers of employment, loss of income presently.
- 3.) Pain & Suffering, to date: My family, pastors, doctors, psychiatrist and I have all complied with several therapeutic and chemical treatments for worsening depression, bouts of rage, and self harm, presently.

#### IV. RELIEF

State briefly what money damages or other relief you want the court to order.

- 1.) Directive From Morgan Stanley to FINRA to expunge plaintiff's Form U5 and pertinent CRD record; expense paid by Morgan Stanley.
- 2.) \$3 Million USD in General, Special, and Punitive Damages.
- 3.) Reinstatement without prejudice, to employment as a W.A.A or F.A.A, in New York City where Plaintiff seeks medical treatment.
- 4.) Written Statement of remorse or apology, by the firm Morgan Stanley, for disenfranchising the Plaintiff and for the extensive pain and suffering she endured as its consequence.



U.S. EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

From: New York District Office  
33 Whitehall Street  
5th Floor  
New York, NY 10004

On behalf of person(s) aggrieved whose identity is  
CONFIDENTIAL (29 CFR §1601.7(a))

Telephone No. \_\_\_\_\_

(212) 336-3756

(See also the additional information enclosed with this form.)

Title VII of the Civil Rights Act of 1964, the Americans with Disabilities Act (ADA), or the Genetic Information Nondiscrimination Act (GINA): This is your Notice of Right to Sue, issued under Title VII, the ADA or GINA based on the above-numbered charge. It has been issued at your request. Your lawsuit under Title VII, the ADA or GINA **must be filed in a federal or state court WITHIN 90 DAYS of your receipt of this notice**; or your right to sue based on this charge will be lost. (The time limit for filing suit based on a claim under state law may be different.)

More than 180 days have passed since the filing of this charge.

Less than 180 days have passed since the filing of this charge, but I have determined that it is unlikely that the EEOC will be able to complete its administrative processing within 180 days from the filing of this charge.

The EEOC is terminating its processing of this charge.

The EEOC will continue to process this charge.

The EEOC is closing your case. Therefore, your lawsuit under the ADEA must be filed in federal or state court WITHIN 90 DAYS of your receipt of this Notice. Otherwise, your right to sue based on the above-numbered charge will be lost.

The EEOC is continuing its handling of your ADEA case. However, if 60 days have passed since the filing of the charge, you may file suit in federal or state court under the ADEA at this time.

If you file suit, based on this charge, please send a copy of your court complaint to this office.

On behalf of the Commission

**Kevin J. Berry,**  
**District Director**

2/8/2019

(Date Mailed)

**MORGAN STANLEY SMITH BARNEY**  
1585 Broadway  
New York, NY 10036

**V. PLAINTIFF'S CERTIFICATION AND WARNINGS**

By signing below, I certify to the best of my knowledge, information, and belief that: (1) the complaint is not being presented for an improper purpose (such as to harass, cause unnecessary delay, or needlessly increase the cost of litigation); (2) the claims are supported by existing law or by a nonfrivolous argument to change existing law; (3) the factual contentions have evidentiary support or, if specifically so identified, will likely have evidentiary support after a reasonable opportunity for further investigation or discovery; and (4) the complaint otherwise complies with the requirements of Federal Rule of Civil Procedure 11.

I agree to notify the Clerk's Office in writing of any changes to my mailing address. I understand that my failure to keep a current address on file with the Clerk's Office may result in the dismissal of my case.

Each Plaintiff must sign and date the complaint. Attach additional pages if necessary. If seeking to proceed without prepayment of fees, each plaintiff must also submit an IFP application.

February 8, 2019

Dated

Amy Victoria Ramirez Rodriguez  
Plaintiff's Signature

Amy  
First Name

V.  
Middle Initial

Ramirez Rodriguez  
Last Name

16 Colonel Robert Magaw Place Apartment 24C  
Street Address

New York  
County, City

New York  
State

10033  
Zip Code

(646) 373-9432  
Telephone Number

Rodriguez A. Ramirez@gmail.com  
Email Address (if available)

I have read the Pro Se (Nonprisoner) Consent to Receive Documents Electronically:

☒ Yes ☐ No

If you do consent to receive documents electronically, submit the completed form with your complaint. If you do not consent, please do not attach the form.